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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	061801/1061
First Inventor	James P. Davidowitz, et al.
Title	METHOD AND SYSTEM FOR INITIATING PAIRS TRADING ACROSS MULTIPLE MARKETS HAVING. . .
Express Mail Label No.	EL 604898293 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. Applicant claims small entity status.
See 37 CFR 1.27.
3. Specification [Total Pages 74]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. Drawing(s) (35 U.S.C. 113) [Total Sheets 13]
5. Oath or Declaration [Total Sheets 5]
 - a. Newly executed (original or copy)
 - b. Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
 - i. **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) name in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:
Commissioner for Patents
Mail Stop Patent Application
P.O. Box 1450
Alexandria VA 22313-1450

7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. Computer Reader Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. Paper
 - c. Statements verifying identity of above copies

01008 U.S. PTO
10/16/15428
07/07/03

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & document(s))
10. 37 CFR 3.73(b) Statement Power of Attorney (when there is an assignee)
11. English Translation Document (if applicable)
12. Information Disclosure Statement (IDS)/PTO-1499 Copies of IDS Citations
13. Preliminary Amendment
14. Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. Other: **Cover Sheet**.....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP) of prior application No.:

Prior application information: Examiner _____ Art Unit: _____
For CONTINUATION OF DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label	(Insert Customer No. or Attach bar code label here)			OR	<input checked="" type="checkbox"/> Correspondence address below
Name	Steven B. Pokotilow, Esq.				
Address	Stroock & Stroock & Lavan LLP				
180 Maiden Lane					
City	New York	State	NY	Zip Code	10038
Country	United States	Telephone	212-806-5400	Fax	212-806-6006
Name (Print/Type)	Steven B. Pokotilow BY	Registration No. (Attorney/Agent)	26,405		
Signature	IAN G. DiBERNARDO Reg. No 40 991			Date	July 7, 2003

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 834.00)

Complete if Known

Application Number	Not yet assigned
Filing Date	Concurrently Herewith
First Named Inventor	James P. Davidowitz, et al.
Examiner Name	Not yet assigned
Art Unit	Not yet assigned
Attorney Docket No.	061801/1061

METHOD OF PAYMENT (check all that apply)

 Check Credit card Money Order Other None
 Deposit Account:Deposit Account Number
Deposit Account Name19-4709
Stroock & Stroock & Lavan LLP

The Director is authorized to: (check all that apply)

 Charge fee(s) indicated below Credit any overpayments
 Charge any additional fee(s) during the pendency of this application
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1001 750	2001 375			Utility filing fee	750
1002 330	2002 165			Design filing fee	
1003 520	2003 260			Plant filing fee	
1004 750	2004 375			Reissue filing fee	
1005 160	2005 80			Provisional filing fee	
SUBTOTAL (1)		(\$ 750.00)			

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
16	-20** =		0	X 18	0
4	- 3** =		1	X 84	84

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description
1202 18	2202 9			Claims in excess of 20
1201 84	2201 42			Independent claims in excess of 3
1203 280	2203 140			Multiple dependent claim, if not paid
1204 84	2204 42			** Reissue independent claims over original patent
1205 18	2205 9			** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)		(\$ 84.00)		

**or number previously paid, if greater; For Reissues, see above

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee (\$)	Fee Description	Fee Paid
1051 130	2051 65	2051 65	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	2052 25	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	2251 55	2251 55	Extension for reply within first month	
1252 410	2252 205	2252 205	2252 205	Extension for reply within second month	
1253 930	2253 465	2253 465	2253 465	Extension for reply within third month	
1254 1,450	2254 725	2254 725	2254 725	Extension for reply within fourth month	
1255 1,970	2255 985	2255 985	2255 985	Extension for reply within fifth month	
1401 320	2401 160	2401 160	2401 160	Notice of Appeal	
1402 320	2402 160	2402 160	2402 160	Filing a brief in support of an appeal	
1403 280	2403 140	2403 140	2403 140	Request for oral hearing	
1451 1,510	1451 1,510	1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	2452 55	2452 55	Petition to revive - unavoidable	
1453 1,300	2453 650	2453 650	2453 650	Petition to revive - unintentional	
1501 1,300	2501 650	2501 650	2501 650	Utility issue fee (or reissue)	
1502 470	2502 235	2502 235	2502 235	Design issue fee	
1503 630	2503 315	2503 315	2503 315	Plant issue fee	
1460 130	1460 130	1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 750	2809 375	2809 375	2809 375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 750	2810 375	2810 375	2810 375	For each additional invention to be examined (37 CFR 1.129(b))	
1801 750	2801 375	2801 375	2801 375	Request for Continued Examination (RCE)	
1802 900	1802 900	1802 900	1802 900	Request for expedited examination of a design application	
Other fee (specify) _____					
*Reduced by Basic Filing Fee Paid					
SUBTOTAL (3) (\$ 0.00)					

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0.00)

SUBMITTED BY

(Complete if applicable)

Name (Print/Type)	Steven B. Pokotilow <i>BY</i>	Registration No. (Attorney/Agent)	26,405	Telephone	(212) 806-5400
Signature	<i>MING DiBERNARDO Reg. No. 96956</i>	<i>John K. DiSalvo</i>		Date	July 7, 2003

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Docket No.
061801/1061
SBP/IGD/HDS

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: **James P. Davidowitz, et al.** Group Art Unit: **Not Yet known**

Application No.: **Not Yet Known** Examiner: **Not Yet Known**

Filed: **Concurrently Herewith**

For: **METHOD AND SYSTEM FOR INITIATING PAIRS TRADING ACROSS
MULTIPLE MARKETS HAVING AUTOMATIC FOREIGN EXCHANGE
PRICE HEDGE**

Date: **July 7, 2003**

CERTIFICATE OF MAILING
BY "EXPRESS MAIL" (37 C.F.R. § 1.10)

Mail Stop Patent Application
Commissioner for Patents
PO Box 1450
Alexandria, Virginia 22313-1450

Sir:

I hereby certify that the following correspondence: **Utility Patent Application Transmittal (1 p.); Fee Transmittal for FY 2003 (1 p.) in duplicate; Specification (cover and 74 pp.); Drawings (13 pp.); executed Declaration and Power of Attorney for Patent Application (5 pp) and return postcard**

is being deposited on July 7, 2003 with the United States Postal Service for "Express Mail Post Office to Addressee" delivery under 37 C.F.R. § 1.10 in an envelope bearing sufficient postage and addressed to:

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Commissioner for Patents
PO Box 1450
Alexandria, Virginia 22313-1450.**

Howard D. Shatz

(Typed Or Printed Name Of Person Mailing Correspondence)



(Signature Of Person Mailing Correspondence)

EL 604898293 US

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